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10/028,067	12/21/2001	Tong Shi	S01.12-0860/STL 10458	2905

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Theodore M. Magee  
WESTMAN CHAMPLIN & KELLY  
Suite 1600 - International Centre  
900 South Second Avenue  
Minneapolis, MN 55402-3319

EXAMINER

RODRIGUEZ, GLENDA P

ART UNIT

PAPER NUMBER

2651

DATE MAILED: 04/01/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

**Office Action Summary**

Application No.

10/028,067

Applicant(s)

SHI, TONG

Examiner

Glenda P. Rodriguez

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 18 October 2004.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-25 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☒ Claim(s) 14 is/are allowed.
- 6) ☒ Claim(s) 1-12, 15-18 and 20-25 is/are rejected.
- 7) ☒ Claim(s) 13 and 19 is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- ☒ Notice of References Cited (PTO-892)
- ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_.
- ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_.
- ☐ Notice of Informal Patent Application (PTO-152)
- ☐ Other: \_\_\_\_\_.

### DETAILED ACTION

1. Claims (11, 12, 20 and 21) considered allowable subject matter in previous office action are now rejected in view of newly found prior art.

#### *Claim Rejections - 35 USC § 102*

2. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

3. Claims 1-4 are rejected under 35 U.S.C. 102(e) as being anticipated by Sugawara et al. (US Patent No. 6, 501, 610).

Regarding Claim 1, Sugawara et al. teaches a method of identifying an equalization target for a channel, the method comprising:

Measuring a goodness metric for a first candidate target by reading data through the channel (Col. 2, L. 25-40, wherein it teaches two different targets being received in the readback channel. Sugawara et al. Further teaches that the ACS circuit compares the metric values of each of the target values in Col. 5, L. 4-31.);  
Measuring the goodness metric for a second candidate target by reading data through the channel (Col. 2, L. 25-40, wherein it teaches two different targets being received in the readback channel. Sugawara et al. Further teaches that the ACS circuit compares the metric values of each of the target values in Col. 5, L. 4-31.);

And comparing the measure of the goodness metric of the first candidate target to the measure of the goodness metric of the second candidate target and selecting the target with the better measure of the goodness metric as the equalization target for the channel (Col. 5, L. 4-31, wherein Sugawara et al. teaches the use of a ACS wherein two metric targets (one from a PR4 signal and another from the EPR4 signal) and selects by comparison the smallest or best metric as the detected target for the channel. See also Page 6, L. 13-25 of the Applicant's Specification, wherein it teaches the comparison and selection technique.).

Regarding Claim 2, Sugawara et al. teach all the limitations of Claim 1. Sugawara et al. further teach wherein setting the first candidate target in the channel (it is inherent that in a reading operation the data is "set" in the channel.); placing an equalizer in the channel into adaptation mode until the equalizer adapts itself to produce equalized data that approaches the first candidate target (See Fig. 3, wherein it teaches a read back signal is placed in a first equalizer 5a.); taking the equalizer out of adaptation mode (Col. 5, L. 14- 31, wherein Sugawara et al. teaches that the equalizer is adapted to the channel read back channel. See also Col. 9, L. 10-25 of Sugawara et al. wherein it teaches the modification of the tap coefficients in the medium in order to adapt to the chosen target.); using the equalizer to form equalized data (See Fig. 3, wherein it teaches the read back signal having the equalizer 5a or 5b that equalizes the signal.); and measuring the goodness metric based in part on the equalized data (Col. 5, L. 14-31).

Regarding Claim 3, Sugawara et al. teaches all the limitations of Claim 2. Sugawara et al. further teaches performing post-processing on the equalized data to form post-processing

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data; and measuring the number of parity errors in the post-processing data (Col. 2, L. 49-65 and Col. 5, L. 14-31, Sugawara et al. teaches an ACS circuit in which it compares the equalized and processed data from the two target data in order to select the one with smallest error.).

Regarding Claim 4, Sugawara et al. teaches all the limitations of Claim 1. Sugawara et al. further teach wherein further comprising modifying the equalization target for the channel to improve the measure of the goodness metric (Col. 5, L. 25-31, wherein it teaches that the ACS block selects the best target in which the errors are smaller.).

***Claim Rejections - 35 USC § 103***

4. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

5. Claims 11 and 12 are rejected under 35 U.S.C. 103(a) as being unpatentable over Sugawara et al. in view of Sridharan et al. ("*A 110 MHz 350mW 0.6μ CMOS 16-State Generalized-Target Viterbi Detector for Disk Drive Read Channels*").

Regarding Claim 11, Sugawara et al. teaches all the limitations of Claim 1. Sugawara et al. does not explicitly teach wherein "separately identifying an equalization target for each of a set of heads; counting the number of times each equalization target was identified; and selecting the equalization target that was identified for the most heads as the equalization target for the channel". However, Sridharan et al. does teach that an adaptive equalization technique as claimed in which it can be further be employed in a plurality of heads (Page, 367, 1<sup>st</sup> Column, Second Paragraph). It would have been obvious to a person of ordinary skill in the art, at the

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time the invention was made, to modify Sugawara et al.'s invention with the teaching of Sridharan et al. in order to be able to extract the error signal for LMS adaptation.

Regarding Claim 12, the combination of Sugawara et al. and Sridharan et al. teach all the limitations of Claim 11. The combination further teaches separately identifying an equalization target for each of a set of head/zone pairs and selecting the equalization target that was identified for the most head/zone pairs as the equalization target for the channel (Page, 367, 1<sup>st</sup> Column, Second Paragraph of Sridharan et al.).

6. Claims 5-10, 15-18 and 22 are rejected under 35 U.S.C. 103(a) as being unpatentable over Sugawara et al. in view of Sawaguchi et al. (US Patent No. 5, 539, 588).

Regarding Claim 5, Sugawara et al. teaches all the limitations of Claim 1. Sugawara et al. does not explicitly teach wherein the first candidate target and the second candidate target are constrained to have a spectral null. However, Sawaguchi et al. teaches wherein the first candidate target and the second candidate target are constrained to have a spectral null (Col. 3, L. 34-52. Sawaguchi et al. teach a magnetic recording/reproducing apparatus in which it selects the next to the lowest spectral null constraint.). It would have been obvious to a person of ordinary skill in the art, at the time the invention was made, to modify Sugawara et al.'s invention with the teaching of Sawaguchi et al. in order to improve the frequency characteristic degradation in the medium (Pat. No. 5, 539, 588; Col. 2, L. 12-19).

Regarding Claim 15, Sugawara et al. teach a method to select out of a plurality of targets for the best metric for equalization as claimed (Col. 5, L. 14-31). Sugawara et al. does not explicitly teach wherein the targets have to satisfy a spectral null (Although Sugawara et al. does teach that the coding in the medium has to contain a amount of zeros', which is also referred to

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as a null in the signal, in Col. 11, L. 22-43.). However, Sawaguchi et al. teaches wherein the targets satisfies a spectral null and that adjusting the initial equalization target so that it no longer satisfies the spectral null constraint (Col. 3, L. 34-52. Sawaguchi et al. teach a magnetic recording/reproducing apparatus in which it selects the next to the lowest spectral null constraint.). It would have been obvious to a person of ordinary skill in the art, at the time the invention was made, to modify Sugawara et al.'s invention with the teaching of Sawaguchi et al. in order to improve the frequency characteristic degradation in the medium (Pat. No. 5, 539, 588; Col. 2, L. 12-19).

Method claim (22) is drawn to the method of using the corresponding method claimed in claims (15). Therefore method claim (15) corresponds to method claim (22) and is rejected for the same reasons of obviousness as used above.

Regarding Claims 6 and 16, the combination of Sugawara et al. and Sawaguchi et al. teaches all the limitations of Claims 5 and 15, respectively. The combination further teach wherein the modifying the equalization target for the channel to improve the measure of the goodness metric (Col. 5, L. 14-31 of Sugawara et al., wherein it teaches choosing the best metric to diminish the error.).

Regarding Claim 7, the combination of Sugawara et al. and Sawaguchi et al. teaches all the limitations of Claim 6. The combination further teach wherein modifying the equalization target for the channel comprises changing the equalization target to form a new target that does not have the spectral null (Col. 3, L. 34-52 of Sawaguchi et al. Sawaguchi et al. teach a magnetic recording/reproducing apparatus in which it selects the next to the lowest spectral null constraint.).

Regarding Claims 8, 9, 10, 17 and 23-25, the combination of Sugawara et al. and Sawaguchi et al. teaches all the limitations of Claim 7, 16 and 22, respectively. The combination further teach wherein modifying the equalization target for the channel comprises sequentially adjusting single terms, increasing terms and exchanging pairs of terms in the equalization target for the channel (Col. 9, L. 10-25 of Sugawara et al. wherein it teaches the modification of the tap coefficients in the medium in order to adapt to the chosen target. It is obvious to a person of ordinary skill in the art to know that when modifications of the tap coefficients are being employed, all these different cases could arise and can be employed if by doing so it guarantees a reduction of error in the equalized signal being processed by the read back channel.).

Regarding Claim 18, the combination of Sugawara et al. and Sawaguchi et al. teaches all the limitations of Claim 15. The combination further teach wherein locating an initial equalization target that provides a best goodness measure comprises locating an equalization target that generates the fewest parity errors in the data produced by the channel.

7. Claims 20 and 21 are rejected under 35 U.S.C. 103(a) as being unpatentable over Sugawara et al. and Sawaguchi et al. as applied to claim 15 above, and further in view of Sridharan et al. (*IEEE Transactions on Solid-State Circuits*, Vol. 35, No. 3, March 2000).

Regarding Claim 20, Sugawara et al. teaches all the limitations of Claim 15. Sugawara et al. does not explicitly teach wherein “separately identifying an equalization target for each of a set of heads; counting the number of times each equalization target was identified; and selecting the equalization target that was identified for the most heads as the equalization target for the channel. However, Sridharan et al. does teach that an adaptive equalization technique as claimed



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in which it can be further be employed in a plurality of heads (Page, 367, 1<sup>st</sup> Column, Second Paragraph). It would have been obvious to a person of ordinary skill in the art, at the time the invention was made, to modify Sugawara et al.'s invention with the teaching of Sridharan et al. in order to be able to extract the error signal for LMS adaptation.

Regarding Claim 21, the combination of Sugawara et al. and Sridharan et al. teach all the limitations of Claim 15. The combination further teaches separately identifying an equalization target for each of a set of head/zone pairs and selecting the equalization target that was identified for the most head/zone pairs as the equalization target for the channel (Page, 367, 1<sup>st</sup> Column, Second Paragraph of Sridharan et al.). It would have been obvious to a person of ordinary skill in the art, at the time the invention was made, to modify Sugawara et al.'s invention with the teaching of Sridharan et al. in order to be able to extract the error signal for LMS adaptation.

***Allowable Subject Matter***

8. Claim 14 is allowed.

The following is an examiner's statement of reasons for allowance: the primary reason for allowance is the inclusion of the limitation wherein a read channel coupled to the read head for equalizing the electrical signal based on an equalization target of  $(1 - D)(4 + 6D + 2D^2 + D^3)$  to produce an equalized signal.

9. Claims 13 and 19 are objected to as being dependent upon a rejected base claim, but would be allowable if rewritten in independent form including all of the limitations of the base claim and any intervening claims.

The following is a statement of reasons for the indication of allowable subject matter:

Regarding Claim 19, the reasons for allowable subject matter are found in the Office Action dated 06/30/2005.

Regarding Claim 13, the primary reason for allowable subject matter is the inclusion of the limitation wherein the identified equalization of the target is on the form of  $(1 - D)(4 + 6D + 2D^2 + D^3)$ .

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

#### ***Response to Arguments***

10. Applicant's arguments with respect to claims 1-25 have been considered but are moot in view of the new ground(s) of rejection.

11. Examiner also would like to add that the Applicant does not explicitly teach the definition of the term "spectral null" and hence the Examiner assumed the term "spectral nul" as disclosed in the reference *Spectral Components of NRZ Test Pattern* found in the internet web address <http://pdfserv.maxim-ic.com/en/an/AN3455.pdf>.

#### ***Conclusion***


12. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure: Kenney et al. in "Multi-level Decision Feedback Equalization: An Efficient Realization of FDTs/DF", Alini et al. in "A 200-MSample/s Trellis-Coded PRML Read/Write Channel with Analog Adaptive Equalizer and Digital Servo" and Proakis in "Digital Communications", "Adaptive Equalization".

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Any inquiry concerning this communication or earlier communications from the examiner should be directed to Glenda P. Rodriguez whose telephone number is (571) 272-7561. The examiner can normally be reached on Monday thru Thursday: 7:00-5:00; alternate Friday.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, David Hudspeth can be reached on (571) 272-7843. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

  
gpr  
March 31, 2005.

  
**DAVID HUDSPETH**  
**SUPERVISORY PATENT EXAMINER**  
**TECHNOLOGY CENTER 2600**